

EFFECTIVE DATE

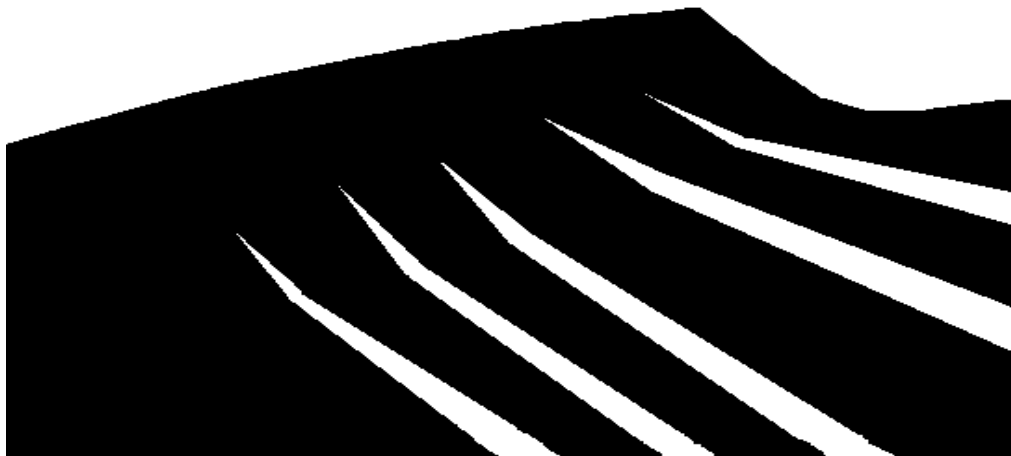
May 9, 1996

LANL-YMP-QP-06.1, R8

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DOCUMENT CONTROL

LOS ALAMOS QUALITY PROGRAM



APPROVAL FOR RELEASE

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Los Alamos
Yucca Mountain Site
Characterization Project

HISTORY OF REVISIONS

REVISION NO.	EFFECTIVE DATE	PAGES REVISED	REASON FOR CHANGE
R0	01/23/89	N/A	Supersedes TWS-QAS-QP-03, R7.
R1	05/10/89	All	Complete rewrite to simplify process.
R2	11/16/90	All	Complete rewrite to reflect changes in controlled document process.
R3	09/30/91	4	Section 5.2 deleted.
R4	04/21/92	8	Revised Section 6.5 to remove the requirement to send superseded documents to the RPC.
R5	12/07/92	All	Complete rewrite to simplify process and to add Section 6.6.
R6	01/31/94	All	Complete rewrite to streamline process and to incorporate QARD requirements.
R7	06/15/94	3-6	To clearly define procedural requirements and to address RTN review comments.
R8	05/09/96	All	To allow use of electronic on-line documents and to allow YMP personnel to submit or delete controlled documents.

DOCUMENT CONTROL

1.0 PURPOSE

This procedure describes the process for controlling, maintaining and distributing Los Alamos National Laboratory (Los Alamos) Yucca Mountain Site Characterization Project (YMP or Project) controlled documents.

2.0 SCOPE

- 2.1 This procedure applies to Los Alamos YMP controlled documents either made available through electronic media, or distributed in hard copy form.
- 2.2 This procedure applies to Los Alamos and Los Alamos-subcontractor YMP personnel (hereafter referred to as YMP personnel) who work under the Los Alamos quality assurance program.

3.0 REFERENCES

LANL-YMP-QP-17.6, Records Management

4.0 DEFINITIONS

4.1 Controlled Document

A controlled document is a document, or any part thereof, that is prepared, reviewed, revised, approved, and issued either electronically or in hard copy, in accordance with an established implementing procedure. A plan, procedure, or other information vital to the Project can be issued as a controlled document.

4.2 Controlled Document Acknowledgment

The Controlled Document Acknowledgment (Attachment 1) accompanies the distribution of a hard copy controlled document and provides assurance to the document control representative that the document holder received an issued document.

4.3 Controlled Document File

The controlled document file contains the final approved copies of the document to be controlled and also provides the copies from which hard copy distribution is made. An electronic file is also maintained for controlled documents.

4.4 Controlled Document Recipient List

A controlled document recipient list is used for identifying holders of hard copy documents.

4.5 Effective Date

The effective date is the date an approved QP or DP becomes available for use. The previous revision of the document may be used for up to 30 days after the effective date of the current document.

4.6 Limited-Term

A document controlled for a specified period of time. A limited-term controlled document contains an expiration date and the document is considered uncontrolled after the expiration date.

4.7 Master List of Controlled Documents.

The master list of controlled documents is a list containing the title and current revision number of each controlled document. This list also includes information related to the issue history of controlled documents, (e.g., superseded and deleted documents).

5.0 RESPONSIBILITIES

The following personnel are responsible for activities identified in Section 6.0 of this procedure.

- Document Control Specialist
- Document Control Coordinator
- YMP personnel

6.0 PROCEDURE

The use of this procedure must be controlled as follows:

- If this procedure cannot be implemented as written, YMP personnel should notify appropriate supervision. If it is determined that a portion of the work cannot be accomplished as described in this QP, or would result in an undesirable situation, that portion of the work will be stopped and not resumed until this procedure is modified or replaced by a new document that reflects the current work practice.
- Employees may use copies of this procedure printed from the controlled document electronic file; however, employees are responsible for assuring that the correct revision of this procedure is used.
- When this procedure becomes obsolete or superseded, it must be destroyed or marked "superseded" to ensure that this document is not used to perform work.

NOTE: Document control representative will be used in this procedure to indicate that actions may be performed by the Document Control Coordinator or a Document Control Specialist.

6.1 Control of Documents

- 6.1.1 After a document has been approved, **YMP personnel** send the final approved hard copy and a copy (text only) on electronic media of the document to be controlled, to a document control representative.
- 6.1.2 For quality administrative procedures (QPs) and detailed technical procedures (DPs) enters the effective date on the Title page and on the History of Revisions page.
- 6.1.3 Updates the file of controlled documents by adding the new document to the file. If the document was superseded, replaces it with the new or revised document.
- 6.1.4 Sends a hard copy of the final approved document to the preparer (if applicable).

6.2 Requests for Controlled Documents

YMP personnel may obtain electronically controlled documents by accessing the Los Alamos YMP EES-13 Home Page via the Internet. Hard copy controlled documents are also available on a permanent or limited-term basis by making a verbal request to a document control representative.

6.3 Distribution of Controlled Documents through Electronic Media

- 6.3.1 A **document control representative** processes electronic documents as follows:
 - 6.3.1.1 Verifies that the final approved hard copy of the document is in the controlled document file. For quality administrative procedures (QPs) and detailed technical procedures (DPs), enters the approval dates and the words, "Approval signature on file" in the appropriate blocks in the Approval For Release section of the electronic procedure title page.
 - 6.3.1.2 For QPs and DPs, enters the effective date on the Title page and History of Revisions page.
 - 6.3.1.3 Updates the electronic document file by adding the new or revised document to the file and removing any superseded document.
 - 6.3.1.4 Updates the master list of controlled documents to identify the current status of each controlled document.
 - 6.3.1.5 Notifies a YMP Training representative that a controlled document was issued.

6.4 Distribution of Hard Copy Documents

6.4.1 A **document control representative** distributes a hard copy controlled document to YMP personnel for use at the work station as follows:

- 6.4.1.1 Assigns each recipient of the controlled document a unique control number and initiates or updates the controlled document recipient list as necessary.
- 6.4.1.2 Updates the master list of controlled documents to identify the current status of each controlled document.
- 6.4.1.3 Initiates a Controlled Document Acknowledgment (Attachment 1) that provides appropriate instruction for receipt of the controlled document.
- 6.4.1.4 Duplicates the document from the copy in the master file of controlled documents and ensures that the document is marked "Controlled" in red.
- 6.4.1.5 Labels documents issued as limited-term with an expiration date.
- 6.4.1.6 Issues to the recipient, the document and a Controlled Document Acknowledgment with appropriate instructions. If the distribution consists of QPs or DPs, the applicable updated section of the master list of controlled documents is included in the distribution.

6.4.2 **YMP personnel** follow the instructions provided on the Controlled Document Acknowledgment and return the acknowledgment to a document control representative by the due date.

6.5 Removing Recipients from Controlled Distribution of Hard Copy Documents

- 6.5.1 Upon request, a document holder may be removed from controlled distribution when controlled documents are no longer needed.
- 6.5.2 A **document control representative** notifies the document holder of the change and updates the controlled document list to reflect changes.

6.6 Removing Documents from the Control System

- 6.6.1 **YMP personnel** notifies a document control representative, in writing to remove the document.
- 6.6.2 A **document control representative** performs the following:

- 6.6.2.1 Removes the document from the file (electronic file and hard copy file) of controlled documents.
- 6.6.2.2 Updates the master list of controlled documents to indicate that the document was removed.
- 6.6.2.3 Sends the hard copy document holder a Controlled Document Acknowledgment with instructions to remove the document.
- 6.6.2.4 Notifies a training representative that a document has been removed.

6.6.3 **YMP personnel** follow the instructions provided on the Controlled Document Acknowledgment and returns the acknowledgment to a document control representative by the due date.

6.7 Submittal of Records

- 6.7.1 Upon termination of LANL's document control activities described in this procedure, a **document control representative** submits the final version of the master list of controlled documents to a RPC according to QP-17.6.

7.0 RECORDS

The following record results from this procedure.

- Master list of Controlled Documents

8.0 TRAINING REQUIREMENTS

- 8.1 Prior to conducting work described in Section 6.0, the Document Control Coordinator, Document Control Specialist and YMP personnel who maintain controlled documents must train to this procedure.
- 8.2 Training to this procedure is accomplished by "read only"

9.0 ATTACHMENTS

Attachment 1: Controlled Document Acknowledgment (1 page)

CONTROLLED DOCUMENT ACKNOWLEDGEMENT

TO:

FROM: DOCUMENT CONTROL COORDINATOR
LOS ALAMOS NATIONAL LABORATORY
MS MS321
LOS ALAMOS, NM 87545

DOCUMENT(S) TRANSMITTED:

TRANSMITTAL DATE: _____

INSTRUCTIONS:

EXAMPLE

DESTROY OR MARK OBSOLETE MATERIAL "SUPERSEDED"

RECEIPT ACKNOWLEDGEMENT

SIGN AND DATE BELOW TO CONFIRM THAT THE ABOVE INSTRUCTIONS HAVE BEEN FOLLOWED.
THIS TRANSMITTAL RECORD SHOULD BE RETURNED TO THE ABOVE ADDRESS BY:

DUE DATE: _____

NAME: _____
Print name Signature Date